

DEPARTMENT OF MENTAL RETARDATION
OFFICE OF QUALITY MANAGEMENT
OFFICE OF QUALITY ENHANCEMENT

EVALUATION TOOL FOR CERTIFICATION
OF
INDIVIDUAL SUPPORT SERVICES

PART I: INDIVIDUAL SERVICE QUALITY REVIEW

AREA #1 RESPONSIVENESS / FLEXIBILITY

THEME

People receiving individual support services by and large determine and direct the supports they need and will accept. Providers, therefore, need to work closely with individuals and people close to them, to identify what services and supports will enhance their health, safety and overall quality of life. The planning process used to identify an individual's needs may be non-traditional in nature, relying less on formal assessment processes and more on the provider's familiarity with the individual, his/her lifestyle and concerns, as well as, the individual's willingness to engage. An individual's needs and the intensity of these needs may change over time and sometimes unexpectedly. Therefore, the ability of the provider to respond to changing needs and to use creative strategies to adapt to changing needs is a hallmark of this service model.

INDICATORS	INTERPRETIVE GUIDELINES / DISCUSSION GUIDE	
A. Provider has a mechanism to determine what the individual's needs are	<ul style="list-style-type: none"> • The provider works closely with the individual to identify those supports that will be of assistance in supporting the individual to be healthy, safe and enjoy a good quality of life • A planning process (whether ISP or other more informal mechanism) is utilized to document how an individual's needs were identified • Provider offers assistance in determining what's important to person 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
B. Provider is aware of the degree to which the individual will accept supports	<ul style="list-style-type: none"> • Supporters use creative strategies to assist an individual to determine what is important to them. The strategies are geared to a style best suited to the individual that will facilitate involvement and "buy in." Supporters are knowledgeable regarding the willingness of the individual to accept supports and develop effective strategies to engage individuals. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
C. Provider is offering supports in areas identified and consistent with individual's willingness to engage	<ul style="list-style-type: none"> • Supports offered reflect the needs which have been identified and agreed to by the individual and DMR. • Supports may include, but need not be limited to targeted assistance in daily living areas such as housing assistance, health care, money management, cooking, home safety, relationships, community membership. (See surveyor's guide for examples of strategies that should be reviewed in specific life areas) 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

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INDICATORS	INTERPRETIVE GUIDELINES / DISCUSSION GUIDE	
D. Provider has the flexibility to modify supports when needed by the individual	<ul style="list-style-type: none"> • Provider is able to respond to unanticipated life situations as they arise • Provider is flexible and will develop creative strategies to both deal with unanticipated situations and to address barriers • Supporters are sensitive to changing needs and goals of the individual and are able to adapt their strategies and supports to reflect what the individual determines is important to them. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

AREA #2 - CHOICE / CONTROL/ INFORMED DECISION MAKING

THEME

People receiving individual supports services manage many aspects of their own lives independently, and are by and large, legally competent to make major life decisions. Despite being competent, individuals may at times require support and/or make decisions that place them at risk. Providers must be able provide assistance to individuals to enable them to understand the risks and benefits of certain decisions. They must be able to respect an individual's right to make certain lifestyle choices at the same time that they strive to assist the individual to understand the consequences of their decisions.

INDICATORS	INTERPRETIVE GUIDELINES / DISCUSSION GUIDE	
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INDICATORS	INTERPRETIVE GUIDELINES / DISCUSSION GUIDE	
A. Staff assists individuals to understand their rights and responsibilities	<ul style="list-style-type: none"> People are supported to understand and exercise their rights. Information regarding rights is shared in a manner geared to a person's learning style. People are supported to understand the responsibilities that go along with exercising one's rights. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
B. Staff have an understanding of the individual's capability to make informed decisions	<ul style="list-style-type: none"> Supporters are sensitive to a person's lifestyle choices and their decision-making capabilities. Supporters are aware of the difference between making poor decisions and the competency to make those decisions. Supporters do not impose their own values on their judgment of a person's ability to make their own decisions. Supporters are aware of what actions to take if there is a concern about the person's continued competency to make informed decisions 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
C. Individuals are given support to make informed decisions about where they live, work, recreate, spend money with whom they have relationships and other significant lifestyle choices	<ul style="list-style-type: none"> Supporters help individuals recognize a meaningful array of options available before they make a decision. Supporters assist individuals to understand the risks and benefits of their decisions. This may include assisting them in decisions regarding where they live, where and if they work, who they spend time with, and how they spend their money when applicable Staff continue to explore ways to support individuals even 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

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INDICATORS	INTERPRETIVE GUIDELINES / DISCUSSION GUIDE	
	when they don't approve of choices	
D. Individuals have opportunities to participate in the selection and evaluation of staff	<ul style="list-style-type: none"> Individuals are actively engaged in who will be providing their supports. Their opinion is actively sought regarding potential employees. They may be involved in interviewing staff and their input is obtained as part of the evaluation of staff. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

AREA #3 - SAFETY / EMERGENCY RESPONSE CAPABILITY

<u>THEME</u>		
Respect for individual choice and control for people receiving individual supports is a cornerstone of this service model. At the same time, however, despite a provider's best efforts to support and educate, individuals may at times make decisions that place themselves or others at risk. Recognition of the broad range of lifestyles choices that people make should not be confused with acceptance of dangerous or risky behavior. Providers, in partnership with individuals, should have ways to assist an individual to minimize risk as well as contingency plans in place when a person's actions result in harm to themselves and others. Individuals, no matter how resistant to support, should know that they have someone they can turn to for help and support when necessary.		
INDICATORS	INTERPRETIVE GUIDELINES / DISCUSSION GUIDE	
A. Staff offers information and support to assist an individual to be safe in their home	<ul style="list-style-type: none"> The provider has spoken with the individual and offered assistance regarding maintaining their safety while at home. This includes doing a review with the individual regarding home safety features such as smoke detectors, assisting them to use stoves and other equipment safely and providing education to help them evacuate safely in the event of an emergency. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
B. Staff offers information and supports to assist an individual to recognize danger and take action in their home, work place and neighborhood	<ul style="list-style-type: none"> The provider talks with the individual about factors that might put them at risk at home or in their neighborhood and has reviewed steps to take in the event of an emergency with the individual. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
C. Staff educates the individual about what to do and who to call in the event of an emergency	<ul style="list-style-type: none"> People have someone they feel comfortable communicating with and routinely use to share concerns and issues. Supporters educate individuals about who to call in the event of an emergency. Individual has access to a supporter from the provider at all times. The individual is aware of who to call if designated PCAs do not arrive. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
D. Staff has supports in place if individuals make decisions that put them at risk	<ul style="list-style-type: none"> Supporters are aware of decisions and actions that may put the individuals at risk. The provider plans ahead and has developed contingency plans to respond to issues. When the 	<input type="checkbox"/> Y <input type="checkbox"/> N

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INDICATORS	INTERPRETIVE GUIDELINES / DISCUSSION GUIDE	
D. continued:	individual acts in unanticipated ways, the provider has the flexibility and capability to respond promptly and appropriately.	<input type="checkbox"/> N/A
E. Staff responds effectively when an individual's decisions impact on the rights and safety of others	<ul style="list-style-type: none"> Supporters assist the individual to understand how his/her decisions may impact on the rights and safety of others. When an individual engages in behavior that put others at risk, the provider takes action necessary. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
F. Staff collaborates with others if there is a risk management plan in place	<ul style="list-style-type: none"> Supporters actively engage the individual in developing plans to mitigate risk and work with both DMR, other agencies and natural supports in a creative and ongoing way to assist the individual to minimize their risk factors. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
G. Staff are aware of mechanisms to report a situation when an individual has been mistreated or harmed and take appropriate action	<ul style="list-style-type: none"> Supporters are aware of state, legal, police and other avenues they may pursue to assist the individual to get protection they may need. This includes filing of complaints with DPPC, restraining orders and police reports. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

AREA #4 – OUTREACH / ADVOCACY

<u>THEME</u> Individuals receiving individual supports often can benefit from a variety of different agency services and from the natural supports of people around them. In some instances, they may not be aware of all that is available to them. In other instances, they may be resistant to utilizing services that might be beneficial. Providers should be working with individuals to assist them in navigating and optimizing the use all formal and natural supports to enhance their ability to live independently in a healthy and safe manner.		
INDICATORS	INTERPRETIVE GUIDELINES / DISCUSSION GUIDE	
A. Staff engages in outreach efforts to other agencies, groups, community resources and natural supports in order to support an individual	<ul style="list-style-type: none"> • Supporters recognize and are aware of the multiple agencies and supports that are available to assist an individual. They explore and effectively utilize other agencies to support an individual. • Supporters are aware of the people and relationships the individual has in the community. These relationships are nurtured and supported, when appropriate to assist the individual to manage and thrive in the community in which they live. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
B. Staff effectively coordinates the efforts of an array of community resources where appropriate	<ul style="list-style-type: none"> • When there are multiple agencies or resources involved in supporting the individual, the provider assists the individual to utilize them appropriately, to understand their role in supporting him/her and to coordinate them so they can work effectively on the person's behalf 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
C. Staff assist the individual to get the services they need	<ul style="list-style-type: none"> • Supporters are aware of the array of specialized and generic supports that are available to the individual. They assist the individual to understand the benefits of accessing certain services, and when requested, will actively assist the individual to obtain necessary services and supports. Supporters assist the individual to live as independently as possible. • Supporters are aware of an individual's rights and serve as an advocate for that individual in matters of concern to them • Staff advocate with DMR for additional supports when needed and accepted by individual. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

PART II - OUTCOMES FOR ORGANIZATION

**OUTCOME: THE ORGANIZATION HAS SYSTEMS
IN PLACE TO SAFEGUARD INDIVIDUALS**

(TO BE COMPLETED ONLY FOR AGENCIES NOT UNDERGOING FULL DMR REVIEW FOR OTHER SERVICES)

Theme: Everyone one has a part in affirming individual rights and protecting people from harm - individuals, their family, friends, neighbors, other members of the community, DMR staff and providers. It is not the responsibility of only one or specific individuals. Because organizations provide direct support to individuals, their role in safeguarding individuals is critical. Therefore the agency needs to assure there is a strong human rights presence throughout the organization and affirm that all staff are vigilant in safeguarding the rights of individuals. While no one can guarantee a risk free environment, it is critical that the agency take a proactive approach to identifying and, where possible, correcting conditions that place people in harms way, through their own actions or the actions of others, and in developing service practices and supports that both minimize risk and maximize growth for individuals.

Indicators	Interpretive Guidelines	
A. The organization has strategies that proactively ensure that essential safeguards are in place.	<ul style="list-style-type: none">• The organization has a way of identifying key safeguards that protect individuals from harm.• The organization monitors the effectiveness of their strategies to safeguard individuals.• The organization has a process to review incidents, restraints, medication occurrences and investigations to determine ways to minimize recurrence.• The organization has a way of identifying analyzing patterns and trends that emerge from analysis of significant incidents and investigations.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

OUTCOME: THE ORGANIZATION HAS SYSTEMS
IN PLACE TO SAFEGUARD INDIVIDUALS (continued)

Indicators	Interpretive Guidelines	
B. The organization has systems in place to affirm and protect the rights and dignity of individuals.	<ul style="list-style-type: none"> The organization supports the human rights committee(s) to be active and involved in affirming and safeguarding individuals' rights. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
C. The agency implements procedures that minimize unnecessary risk to individual.	<ul style="list-style-type: none"> The organization has a way of identifying individuals who may be at risk and strategies to act promptly when individuals are in dangerous or risky situations. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

**OUTCOME: STAFF HAVE THE SKILLS AND KNOWLEDGE TO SUPPORT THE
QUALITY OF LIFE OF INDIVIDUALS**

Theme: While individuals with mental retardation usually have family and friends in their lives to assist and support them, the quality of paid staff who assist individuals on a routine basis is essential in assuring positive outcomes in people's lives. Much is expected of paid staff, yet positive outcomes are hard to achieve without the tools staff need to accomplish these outcomes. Staff must have access to a thorough orientation process, to the knowledge and information they will need to support the individuals with whom they are working, to ongoing opportunities for consultation and support, both on a routine and an emergency basis, and opportunities to be active participants in problem-solving. In turn, agencies must be able to reward staff who demonstrate commitment and expertise to individuals and be able to address those situations where staff supports are less than desirable.

Indicators	Interpretive Guidelines	
A. Agency recruits and maintains a competent work force.	<ul style="list-style-type: none"> • The agency has a thorough screening, interviewing and hiring process (e.g., reference checks, input from individuals, CORI checks). • Expectations of job performance and responsibilities are tied to outcomes for individuals. • New employees are supported to carry out their roles. • There is an evaluation process for staff and ways for staff to improve performance. • There are mechanisms in place to remove unqualified staff and reward good staff. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
B. The agency has ways to support staff knowledge, effectiveness and creativity.	<ul style="list-style-type: none"> • Staff have access to ongoing opportunities for advice, consultation, problem-solving and sharing. • There are ongoing opportunities for learning and increasing staff skills to support people. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

**OUTCOME: THE ORGANIZATION SUPPORTS GROWTH AND CHANGE TO
CONTINUALLY IMPROVE ITS SUPPORTS TO INDIVIDUALS**

Theme: Striving for excellence is a journey and a process that has, as a foundation, a shared vision of how to provide effective services and supports. There is no one way or one-size-fits-all approach in achieving organization coherence and improving services over time. It takes the ability to critically examine the services being provided and a commitment to make changes in the services to support improved outcomes for individuals. The agency should create a culture that encourages input from individuals, their guardians, family members, staff and other knowledgeable and informed individuals. The agency must embrace self-examination as an important learning process, and commit itself to change and growth in a continuing process to support quality in the lives of the people it supports.

Indicators	Interpretive Guidelines	
A. The organization has processes to evaluate the quality of its supports.	<ul style="list-style-type: none"> • The agency employs a variety of approaches to review its mission and services. • The agency involves people from both within and outside of the organization to provide input into current services and shape future directions. • The agency actively solicits and uses input from individuals receiving services, and their families and guardians regarding their satisfaction with the services and their recommendations for change. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
B. The organization improves as a result of these analyses.	<ul style="list-style-type: none"> • Individuals' current and future needs are incorporated into the agency's planning and actions. • The agency networks with other people and organizations in order to share ideas and best practices. • In planning for the future, the agency keeps abreast of current trends and service practices. 	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

PART III: THE AREA OFFICE IS INVOLVED IN FOLLOWING THE INDIVIDUAL.

INDICATORS	INTERPRETIVE GUIDELINES	
1. The service planning process is individualized and designed around the person's needs and willingness to accept supports.	Goals are individualized. Efforts are made to involve individuals in the planning process. Goals reflect an understanding of the individuals strengths, needs and willingness to accept supports.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
2. The area office staff monitor that services in the ISP are being provided.	Area office is knowledgeable about services being provided and success towards accomplishing ISP goals.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
3. The area office staff maintain contact with the individual.	Area office has contact with the individual at intervals and intensity that individual can accept and helps support success.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
4. The area office staff maintain regular contact with the provider on behalf of the individual.	Area office regularly communicates with provider about individual's services, providing assistance as needed in supporting individual.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
5. The area office reviews the need for a risk management plan.	If the individual exhibits behaviors that put them at risk, this has been thoroughly reviewed, including developing a risk management plan if needed, to address those behaviors.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
6. The area office monitors the ongoing implementation of the Risk Management Plan.	There are regular reviews as needed to determine if interventions are effective. Changes are made as needed.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
7. If the individual has a risk management plan, the area office staff follows through on interventions for which they took responsibility.	Interventions are implemented in a timely manner. When interventions are reviewed, new intervention is implemented as outlined.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A